

IN THE BOARD OF SUPERVISORS

County of San Luis Obispo, State of California

_____ day _____, 20____

PRESENT: Supervisors

ABSENT:

RESOLUTION NO. _____

RESOLUTION ADOPTING THE PRE-QUALIFICATION PROGRAM FOR GENERAL CONTRACTORS AND ELECTRICAL SUBCONTRACTORS FOR THE LOS OSOS WATER RECYCLING FACILITY PROJECT

The following resolution is now offered and read:

WHEREAS, the San Luis Obispo County desires to implement a project-specific Pre-Qualification Program for potential bidders for the Los Osos Water Recycling Facility Project (Project); and

WHEREAS, Public Contract Code, Section 20101 authorizes the County to require prospective bidders to submit a standardized questionnaire prior to bidding on specific construction projects; and

WHEREAS, Pre-Qualification packages have been developed for the Project for general contractors and electrical subcontractors; and

WHEREAS, Public Contract Code, Section 20101 also requires the County to adopt a uniform system of rating bidders based upon the completed standardized questionnaire; and

WHEREAS, the California Department of Industrial Relations (DIR) has developed a template for rating bidders and drafting a standardized questionnaire; and

WHEREAS, County staff have developed a standardized questionnaire and an evaluation procedure, modeled after the DIR template, for the purpose of applying a uniform system of rating potential bidders; and

WHEREAS, the Pre-Qualification Program includes an appeal procedure consistent with Public Contract Code Section 20101 which authorizes an Appeals Panel to process all appeals and to render the County's final decision on all appeals; and

WHEREAS, the County desires to adopt the Pre-Qualification Program for general contractors and electrical subcontractors, as set forth in the Pre-Qualification packages (Exhibits "A" and "B") for the Project which include a pre-qualification questionnaire, a uniform system of rating and an appeal process.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED by the Board of Supervisors for the County of San Luis Obispo, State of California, as follows:

1. That the above recitals are true and correct and incorporated herein.
2. That the Pre-qualification Program, as identified in the Pre-Qualification packages for the Project for general contractors and electrical subcontractors and attached hereto as Exhibits "A" and "B" are approved and adopted pursuant to Public Contract Code, Section 20101.
3. That the Director of Public Works, or his designee, is authorized to implement a Pre-Qualification process, administer the appeal process, and make addendums as necessary for the Los Osos Water Recycling Facility Project consistent with the Pre-Qualification Program and Public Contract Code, Section 20101.

Upon motion of Supervisor _____, seconded by Supervisor _____, and on the following roll call vote, to wit:

AYES:

NOES:

ABSENT:

ABSTAINING:

the foregoing Resolution is hereby adopted on the ____ day of _____, 20____.

Chairperson of the Board of Supervisors

ATTEST:

Clerk of the Board of Supervisors

[SEAL]

APPROVED AS TO FORM AND LEGAL EFFECT:

RITA L. NEAL
County Counsel

By: 
Deputy County Counsel

Dated: July 18, 2013

STATE OF CALIFORNIA, }
County of San Luis Obispo, ss.

I, _____, County Clerk and ex-officio Clerk of the Board of Supervisors, in and for the County of San Luis Obispo, State of California, do hereby certify the foregoing to be a full, true and correct copy of an order made by the Board of Supervisors, as the same appears spread upon their minute book.

WITNESS my hand and the seal of said Board of Supervisors, affixed this _____
day of _____, 20 _____.

(SEAL)

County Clerk and Ex-Officio Clerk of the Board
of Supervisors

By _____
Deputy Clerk.

**NOTICE TO GENERAL CONTRACTORS
FOR
PRE-QUALIFICATION OF GENERAL CONTRACTORS
SEEKING TO BID**



County of San Luis Obispo
Los Osos Water Recycling Facility
Project No 300448.08.02
Los Osos, California

RSOQ #1227-13

**STATEMENTS OF
PRE-QUALIFICATION DUE:
SEPTEMBER 5, 2013 AT OR BEFORE 3:00 P.M.**

CONTENTS OF PRE-QUALIFICATION PACKAGE

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- Part I – Organization Information and Affidavit
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Section 4: Scoring

**NOTIFICATION OF PRE-QUALIFICATION OF
GENERAL CONTRACTORS
Seeking to Bid on the Construction of
County of San Luis Obispo
Los Osos Water Recycling Facility, #300448.08.02
Los Osos, CA**

NOTICE IS HEREBY GIVEN that the County has determined that any Contractor who intends to bid on the construction contract for the Los Osos Water Recycling Facility ("Project") must be pre-qualified prior to submitting a bid on this project. The pre-qualification evaluation is solely for the purpose of determining which Contractors are deemed pre-qualified for the successful performance of the construction of the Project in a timely manner. The act of providing a pre-qualification submittal does not, in itself, guarantee that pre-qualification will be granted or that the Contractor will receive a contract in connection with the Los Osos Water Recycling Facility.

The County of San Luis Obispo ("County") seeks to pre-qualify Contractors ("Contractor") for the construction of the Los Osos Water Recycling Facility, and now invites sealed Pre-qualification Applications.

A Contractor must be on the final list of pre-qualified bidders in order to submit a bid. A Contractor who desires to pre-qualify and submit a bid must have specific relevant experience completing at water or wastewater treatment facilities.

The engineer's construction estimate for the total Project is **\$41,000,000**. The Water Recycling Facility will provide treatment and support facilities on a 14 acre site for the newly constructed community wastewater system in Los Osos. Flows from the new collection system will be delivered to the facility by a single force main originating from the Mid-Town Pump Station, approximately 2.5 miles west. The facility will serve as the operational headquarters for the wastewater collection and recycled water reuse systems, as well as the treatment operations and include administrative and maintenance buildings. The facility will treat up to 1.2 MGD of wastewater to meet CA Title 22 tertiary standards and meet a total nitrogen limit of 7 mg/L monthly average. Recycled water storage ponds for more than 30 acre-feet and an effluent pump station to deliver recycled water back to the community are also included in the construction contract

The County is also concurrently in the process of pre-qualifying subcontractors for Electrical specialty trade work (Class "C10" license). Prequalification documents for Electrical Subcontractors can be found on the County General Services Web Site listed below. Should a General Contractor plan to self-perform the electrical work, it will need to complete the pre-qualification process for Electrical Subcontractors to demonstrate the General Contractor's experience and qualifications to self-perform the electrical work. The portion of work related to Electrical, Instrumentation, and Controls is approximately \$5 million of the total project cost.

The Pre-qualification process will include the submittal by Contractors of completed Pre-qualification Documents within the prescribed deadline and the County's evaluation of Pre-qualification Document responses based on a uniform system of rating the pre-qualification application. Only pre-qualified General Contractors will be eligible to participate in the bidding process.

General Contractors that wish to use particular subcontractors for electrical specialty trade work listed above, need to notify those subcontractors of the pre-qualification application process. Pre-qualification documents can be found at the County General Services Web Site listed below.

SUBMISSION OF PRE-QUALIFICATION APPLICATIONS

Pre-qualification Applications may be obtained from the General Services Agency receptionist at 1087 Santa Rosa, San Luis Obispo, CA, (805) 781-5200 and are also posted on the County's Purchasing website at:

www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm

Any changes, additions, deletions, clarifications to this application process will be in the form of a written addendum issued by the County. **Addendums shall be posted on the website. Contractors must check the website for Addendums or other relevant information during the response period.** All addendums become a part of this application request. The County is not responsible for the failure of any prospective applicant to receive such addendum and information issued during the response period. It is solely the responsibility of each contractor to ensure that they receive any and all addenda.

Requests for Clarification of the process or the documents must be in writing and submitted by mail or email to the project manager listed below, no later than 5:00 p.m. (PST), **August 26, 2013**. The County reserves the right to determine the appropriateness of the comments/questions that will be posted on the Website.

John Waddell, PE
County of San Luis Obispo, Public Works
County Government Center, Room 207
San Luis Obispo, California 93408
Email: jwaddell@co.slo.ca.us

Applications must be received by **3:00 p.m. (PST) on September 5, 2013** at the below address. No fax or e-mail copies will be accepted. Submit one (1) original application, one (1) hard copy of the original application, and one (1) electronic copy of the original application to:

County of San Luis Obispo, General Services Agency
Missy Viles, GSA Purchasing
1087 Santa Rosa, San Luis Obispo, CA 93408
(805) 781-5216, mviles@co.slo.ca.us

Submit applications in sealed envelopes with the following clearly marked on the package:

General Contractor
CONFIDENTIAL:
Pre-Qualification Application #1227-13
County of San Luis Obispo
LOS OSOS WATER RECYCLING FACILITY, # 300448.08.02
Contractor Business Name and Business Address

It is **mandatory** that all Contractors who intend to submit a bid for the construction of the Los Osos Water Recycling Facility Project fully complete the pre-qualification questionnaire, provide all materials requested therein, and be found pre-qualified by a County appointed evaluation committee in order to be placed on the pre-qualified bidders list. No bid for the upcoming construction of the Water Recycling Facility will be accepted from a Contractor that has failed to comply with these requirements.

APPLICATION FOR PRE-QUALIFICATION OF GENERAL CONTRACTORS

Seeking to Bid on the Construction of
San Luis Obispo County
Los Osos Water Recycling Facility, #300448.08.02
Los Osos, California

Pre-Qualification Process Administered by
COUNTY OF SAN LUIS OBISPO, GENERAL SERVICES AGENCY
1087 Santa Rosa Street
San Luis Obispo, CA. 93408

The following Application for Pre-qualification document is distributed with the intent to pre-qualify general contractors for construction of the Los Osos Water Recycling Facility (Project).

The engineer's construction estimate for the total Project is **\$41,000,000**. The Water Recycling Facility will provide treatment and support facilities on a 14 acre site for the newly constructed community wastewater system in Los Osos. Flows from the new collection system will be delivered to the facility by a single force main originating from the Mid-Town Pump Station, approximately 2.5 miles west. The facility will serve as the operational headquarters for the wastewater collection and recycled water reuse systems, as well as the treatment operations and include administrative and maintenance buildings. The facility will treat up to 1.2 MGD of wastewater to meet CA Title 22 tertiary standards and meet a total nitrogen limit of 7 mg/L monthly average. Recycled water storage ponds for more than 30 acre-feet and an effluent pump station to deliver recycled water back to the community are also included in the construction contract.

Applications for Pre-qualification are DUE by 3:00 p.m. (PST) on September 5, 2013. No fax or e-mail copies will be accepted. Submittals received after the specified time and date will not be considered and will be returned unopened to the sender. **THIS SUBMISSION DEADLINE WILL BE STRICTLY ENFORCED.** See Notification Announcement for further information.

See Notification Announcement for further information.

SECTION 1: GENERAL INSTRUCTIONS AND INFORMATION

A. General Information

A Contactor must have a current California General Engineering Class “A” Contractor’s license in order to be awarded the construction contract on this Project. If Contractor does not currently hold a California General Engineering Class “A” license, the contractor must (1) state all of the reasons why it does not currently hold Class “A” license, and (2) provide all facts and documents that show how it satisfies the State’s requirements for the issuance of a Class “A” license, and (3) state the reasons why it is reasonably likely that contractor will have a Class “A” license before the County awards the construction contract on this Project.

Pre-qualification by County of San Luis Obispo, for this Project shall remain valid until the contract for construction is awarded or until responding firms are notified in writing by the County that the final pre-qualification list has expired. It is mandatory that all Contractors who intend to submit a bid fully complete the pre-qualification questionnaire, provide all materials requested, and be approved by San Luis Obispo County to be on the final pre-qualified Bidders list. No bid will be accepted from a Contractor that has failed to comply with these requirements.

NOTES:

1. Joint Venture Firms shall submit one application and provide financial information and attachments for both firms and must individually meet the conditions of Part II Essential Requirements for Qualification and Part III B – organization History, Performance, and compliance with Civil and Criminal Laws.

2. Limited Liability Corporations (LLC) will be required to comply with a Guaranty of Obligations. Answers to questions contained in the attached questionnaire, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information are required. San Luis Obispo County will use these documents as the basis of rating Contractors in respect to the size and scope of contracts upon which each Contractor is pre-qualified to bid. San Luis Obispo County reserves the right to check other sources available. San Luis Obispo County’s decision will be based on objective evaluation criteria. San Luis Obispo County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Contractors, whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating. While it is the intent of the pre-qualification questionnaire and required documents to assist San Luis Obispo County in determining bidder responsibility prior to bid and to aid San Luis Obispo County in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude San Luis Obispo County from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness to be awarded a contract pursuant to California Public Contract Code.

B. Data Required

All portions of Application for Pre-qualification Parts I through VI, shall be completed, with additional information attached if the space provided does not suffice. Failure to include the information called for may result in disqualification. It is essential that construction experience of

the general contractor be demonstrated, as such experience is considered in establishing pre-qualification.

NOTE: The pre-qualification packages (questionnaire answers and financial statements) submitted by Contractors are not public records and are not open to public inspection (see Public Disclosure and Privacy section). All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

Each affidavit and certification form must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Contractor on whose behalf that person is signing. If any information provided by a Contractor becomes inaccurate, the Contractor must immediately notify San Luis Obispo County and provide updated accurate information in writing, under penalty of perjury.

Contractors shall submit pre-qualification packages during regular working hours on any day that the San Luis Obispo County, General Services Agency offices are open, up to 3:00 PM, local time, on the application submittal deadline date. San Luis Obispo County may refuse to grant pre-qualification where the requested information and materials are not provided by the submittal deadline. The closing time for applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

All documents submitted to the County in response to this Pre-qualification process will become the exclusive property of the County and may be returned to the proposer or kept by the County, in the County's sole discretion

C. Current Financial Information

General Contractor shall provide a complete financial statement indicating organization's financial condition. Financial statements provided by general contractors shall not be older than six (6) months prior to the date of filing this Pre-qualification Application. The financial statements are to be reviewed and audited, and submitted with any accompanying notes and supplemental information. The County of San Luis Obispo reserves the right to reject financial statements in which the financial condition reported is of a date six (6) months or more prior to the date of filing.

D. Accountant's Certificate and Supplemental Financial Information

The financial statements submitted by the Contractor must be audited or reviewed by a Certified Public Accountant (CPA). The CPA should submit a copy of his/her current license as proof of the accountant's qualifications to issue reviewed or audited financial statements. The license shall be signed and shall indicate the license/certificate number.

Bearing in mind that working capital is an important factor in determining the prequalification of the general contractor, the accountant will perform a valuable service for their client and at the same time assist the County, if they will furnish supplemental schedules to provide any information not specifically called for by the statement which in their opinion might be taken into

consideration. In the event that the general contractor's job income and expenditures are accounted for on a completed contract basis and the balance sheet includes an item reflecting the excess of costs to date over billings to date, or vice versa, the elements of "Accumulated Costs" and "Billings to Date" must be shown in support of the balance sheet item.

E. Affidavits

The required affidavits must be completely executed or the applicant will be disqualified.

F. Questions

General Contractors are required to submit any questions in writing no later than 5:00 PM, local time, seven days before the application due date. Questions received less than ten days before the application deadline may not be responded to. Only written inquiries will be permitted. Questions must be submitted in writing, by mail or email to the Project Manager:

John Waddell, PE
County of San Luis Obispo, Public Works
County Government Center, Room 207
San Luis Obispo, California 93408
Email: jwaddell@co.slo.ca.us

Only written inquiries will be responded to. Under no circumstance are any prospective general contractors or anyone receiving the Application for Pre-qualification, to contact, discuss with, or inquire of any County consultant, employee, or elected official on any matter relating to this solicitation process. This requirement is to ensure that the same information is communicated to all parties and that no inconsistent, incomplete, or inaccurate information is transmitted separately.

G. County of San Luis Obispo Rights

The County reserves the right to waive minor irregularities and omissions in the information contained in the Pre-qualification Application submitted, and to make all final determinations. The County also reserves the right to terminate this Pre-qualification process at any time.

The County may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by the date specified above. The closing time for the submission of Pre-qualification Applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

The County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequent learned information. Any Contractors whose pre-qualification rating is so adjusted by an amount that would preclude them from bidding on the Project will be notified and given an opportunity for an appeal hearing consistent with the hearing procedures described for appealing a pre-qualification rating. While it is the intent of the Pre-qualification Documents to assist the County in determining bidder responsibility prior to bid and to aid it in selection of the lowest responsible bidder, the pre-qualification will not preclude the County from conducting a post-bid evaluation of whether a bidder is a responsible bidder under applicable law.

H. Appeal Rights

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is initiated by the Contractor delivering written notice to San Luis Obispo County General Services Agency of Contractor's appeal of the decision with respect to its pre-qualification rating, **no later than ten (10) business days** following the date of written notification from the County that the Contractor does not meet the rating established by the County. The written notice of appeal must contain a complete statement of all grounds for the appeal, and must refer to the specific portions of the rating documentation that are the basis of the Protest.

Without a timely appeal, the Contractor waives any and all rights to challenge the County's decision that the Contractor is not eligible to bid on the Project, regardless of whether the challenge is by administrative process, judicial process or any other legal process or proceeding. If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after the County's receipt of the notice of appeal. The hearing shall be an informal process conducted by an Appeals Panel consisting of staff or professionals that have had no involvement in the pre-qualification selection process. At the Contractor/Appellant's request, the Contractor will be advised of the basis for the County's pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within five (5) business days after the conclusion of the hearing, the Appeals Panel will render its decision which shall be final and not subject to further appeal. The date for the submission and opening of bids will not be delayed or postponed during the processing of any appeals.

Note: A Contractor will be found not pre-qualified for bidding on the construction contract for the aforementioned specific Los Osos Water Recycling Facility if the Contractor receives a rating below that necessary to pre-qualify. Additional grounds upon which, a Contractor may be found not pre-qualified include:

- (1) Omission of requested information or
- (2) Falsification of information

I. Minimum Bonding Requirements

The General Contractor, individually or as a team, must have the capacity to obtain performance and payment bonds for the full value of the construction contract, Prospective General Contractors that cannot provide bonding at that amount will not be considered pre-qualified even though they may be pre-qualified otherwise.

SECTION 2: PROJECT OVERVIEW

A. Project Location

The site is located on undeveloped property that is located approximately 1.5 miles east of Los Osos, and about 1,500 feet north of the intersection of Clark Valley Road with Los Osos Valley Road. The site is approximately 14 acres that has been used mainly as farmland. The site is bordered on all sides by mostly vacant land. There is a single family home to the west of the site. The Los Osos Valley Memorial Park cemetery is located to the south.

The project delivery method for Los Osos Water Recycling Facility will be through a single prime contract awarded to the lowest responsible bidder. The County's current estimate of probable construction costs is \$41,000,000 and the estimated construction duration is 20 months.

B. Project Description

The Water Recycling Facility will provide treatment and support facilities for the newly constructed community wastewater system in Los Osos. Flows from the new collection system will be delivered to the facility by a single force main originating from the Mid-Town Pump Station, approximately 2.5 miles west. The facility will serve as the operational headquarters for the wastewater collection and recycled water reuse systems, as well as the treatment operations and include administrative and maintenance buildings. The facility will treat up to 1.2 MGD of wastewater to meet CA Title 22 tertiary standards and meet a total nitrogen limit of 7 mg/L monthly average. Recycled water storage ponds for more than 30 acre-feet and an effluent pump station to deliver recycled water back to the community are also included in the construction contract. The following is a summary of the major components of the project:

1. Preliminary Treatment: Headworks to protect downstream processes and equipment by removing coarse material from the influent wastewater. An odor control facility will provide plant-wide treatment of foul air, addressing anticipated odor sources at the headworks, splitter box, and solids processing.
2. Secondary Treatment: Biological treatment of the wastewater to remove biochemical oxygen demand, suspended solids, and nutrients in the water. The secondary treatment facilities will consist of an oxidation ditch extended aeration process, secondary clarifiers, and sludge pump station.
3. Tertiary Treatment: Process to produce effluent that meets CA Title 22 Recycled Water criteria will consist of filter influent pumping, coagulation, filtration, ultraviolet disinfection, and sodium hypochlorite for chlorine residual control.
4. Effluent Pumping and Storage: Includes a common effluent pump station and on-site storage ponds providing approximately 30 acre-feet of storage. The pump station will meet all effluent pumping needs, including on-site irrigation and utility water, and pump to a single distribution main that will serve multiple irrigation and percolation sites in the community.
5. Solids Handling: Includes sludge storage tanks, sludge dewatering system, dewatered cake conveyance with discharge to trucks for hauling off-site.

Upon completion of the Water Recycling Facility the entire community wastewater system must proceed through a start-up process. The service area, which currently utilizes individual septic

systems, must transition to centralized sewer service by the connection of approximately 4,800 individual users, over approximately one year. As a result, initially influent flows will start at zero and slowly increase to expected daily flows over the course of the year. To facilitate this process, the County plans to require the contractor, through the contract documents, to perform a start-up and commissioning period until flows are sufficiently established to determine that the facility is properly functioning and that there are no defects in the work.

Construction Plans

A subset of the 90% Design Plans is available for viewing and downloading from the web site. Plans are for reference purposes only (Not for Construction). Plans can be downloaded from:

http://www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm.

Contractor Project Milestone Schedule

The County currently anticipates conducting the procurement of the Los Osos Water Recycling Facility in accordance with the following milestones, leading to award of a construction contract. This schedule is subject to revision and the County reserves the right to modify this schedule as it finds necessary.

Issue Application for Pre-qualification	August 6, 2013
Deadline for Questions	August 26, 2013
PRE-QUALIFICATION APPLICATION DUE	September 5, 2013
Notification of Pre-Qualified Contractors	September 20, 2013
Issue of Bid Documents	September 17, 2013
Bids Due	October 31, 2013
Contract Award	November 26, 2013

Firm Name: _____

SECTION 3: APPLICATION FOR PRE-QUALIFICATION

An Interactive PDF for Section 3 is provided on the web site and contractors may choose to use all or part of this form in their submittals. Prior to submittal of hard copies printed from the interactive PDF, contractor is responsible for ensuring all information entered is shown on the hard copies.

Firm Name: _____

The specific documents that must be submitted and attached are:

Part I – Organization Information and Affidavit

Part II – Essential Requirements for Qualification

Part III – Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws

Part IV – Organization's Recent Construction Projects Completed and Project Manager Experience

Part V – Organization's Financial Statements, Surety and Bonding Requirements, and Insurance Requirements

Part VI – Attachments Required

Firm Name: _____

PART I. ORGANIZATION INFORMATION AND AFFIDAVIT

The following documents, Pre-qualification Application, Parts I through VI, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification, in accordance with the Public Contract Code, for the aforementioned Project:

Firm Name: _____
(as it appears on license)

Check One:

☐ Corporation

☐ Partnership

☐ Sole Prop

☐ Joint Venture (each organization to submit separately sections Part II and Part III B)

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

E-Mail: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s) Classification(s), expiration date(s): _____

AFFIDAVIT

I, the undersigned, certify and declare that I have read all the following answers to this pre-qualification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Dated: _____

(Authorized Signature)

(Printed name and title)

Firm Name: _____

ADDENDUM ACKNOWLEDGEMENT

Contractors must check the website for Addendums or other relevant information during the response period. All addendums become a part of this application request. The County is not responsible for the failure of any prospective applicant to receive such addendum and information issued during the response period. It is solely the responsibility of each contractor to ensure that they receive any and all addenda.

Addendum No.	Addendum Date
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Contractor will be immediately disqualified if the answer to any of questions 1 through 6 is “no.”¹

Contractor will be immediately disqualified if the answer to any of questions 7, 8, 9, or 10 is “yes.”² If the answer to question 9 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

1. Contractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid.
☐ Yes ☐ No ☐ Check here if you are an out-of-state contractor who performed the work described in this questionnaire and attach the following: (1) state all of the reasons why you do not currently hold Class “A” license, and (2) provide all facts and documents that show you satisfy the State’s requirements for the issuance of a Class “A” license, and (3) state the reasons why is it reasonably likely that you will have a Class “A” license before the County awards the construction contract on this Project.
2. Contractor has or has ability to obtain a liability insurance policy with a policy limit of at least \$5,000,000 per occurrence and \$10,000,000 aggregate, and \$15,000,000 excess umbrella policy.
☐ Yes ☐ No
3. Contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.
☐ Yes ☐ No ☐ Contractor is exempt from this requirement, because it has no employees
4. Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.³
☐ Yes ☐ No

NOTE: A financial statement that is not either reviewed or audited is not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

¹ A “no” answer to Question 4 will not be disqualifying if the contractor is exempt from complying with Question 4, for reasons explained in footnote 3.

² A contractor disqualified solely because of a “Yes” answer given to question 7, 8, or 10 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

³ Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 per cent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is \$10 million, and 25 per cent of that amount, therefore, is \$2.5 million.

Firm Name: _____

5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single project; or (if you are seeking pre-qualification valid for a year) (b) your current available bonding capacity?⁴

☐ Yes ☐ No

NOTE: Notarized statement must be from the surety company, not an agent or broker.

6. Does your firm have a documented Health & Safety Policy?

☐ Yes ☐ No

7. Has your contractor's license been revoked at any time in the last five years?

☐ Yes ☐ No

8. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five (5) years?

☐ Yes ☐ No

9. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes ☐ No

If the answer is "Yes," state the beginning and ending dates of the period of debarment:

10. At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

☐ Yes ☐ No

⁴ An additional notarized statement from the surety may be requested by *Public Entity* at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid.

Firm Name: _____

**PART III. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE,
COMPLIANCE WITH CIVIL AND CRIMINAL LAWS**

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

- 1a. Date incorporated : _____
- 1b. Under the laws of what state: _____
- 1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten per cent or more of the business, or 10 per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Firm	Dates of Person's Participation with Firm

Firm Name: _____

For Firms That Are Partnerships:

1a. Date of formation: _____

1b. Under the laws of what state: _____

1c. Provide all the following information for each partner who owns 10 per cent or more of the firm.

Name	Position	Years with Co.	% Ownership

1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Company	Dates of Person's Participation with Company

Firm Name: _____

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Company	Dates of Person's Participation with Company

For Firms That Intend to Make a Bid as Part of a Joint Venture:

- 1a. Date of commencement of joint venture. _____
- 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

Name of firm	% Ownership of Joint Venture

Firm Name: _____

B. History of the Business and Organizational Performance

2. Has there been any change in ownership of the firm at any time during the last three years?

NOTE: A corporation whose shares are publicly traded is not required to answer this question.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?

NOTE: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms.

NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

5. State your firm's gross revenues for each of the last three years:

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

7. Is your firm currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

☐ Yes ☐ No

Firm Name: _____

If “yes,” please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court’s discharge order, or of any other document that ended the case, if no discharge order was issued.

Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm (If no California construction licenses are currently held, provide this requested information for all other State construction licenses):

10. If any of your firm’s license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license. (If no California construction licenses are currently held, provide this requested information for all other State construction licenses)

11. Has your firm changed names or license number in the past five years?

☐ Yes ☐ No

If “yes,” explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations: officer) of your firm operated a construction firm under any other name in the last five years?

☐ Yes ☐ No

If “yes,” explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

☐ Yes ☐ No

If “yes,” please explain on a separate signed sheet.

Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?

☐ Yes ☐ No

Firm Name: _____

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

☐ Yes ☐ No

If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years has any claim against your firm concerning your firm's work on a construction project been filed in court or arbitration?

☐ Yes ☐ No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

Firm Name: _____

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

☐ Yes ☐ No

If "yes," on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

* * * * *

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf, in connection with a construction project, either public or private?

☐ Yes ☐ No

If "yes," explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

☐ Yes ☐ No

If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

Criminal Matters and Related Civil Suits

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

Firm Name: _____

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

Bonding

24. Bonding capacity: Provide documentation from your surety identifying the following:

Name of bonding company/surety: _____

Name of surety agent, address and telephone number:

25. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

26. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds:

27. During the last five years, has your firm ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

☐ Yes ☐ No

If yes, provide details on a separate signed sheet indicating the date when your firm was denied coverage and the name of the company or companies which denied coverage; and the period during which you had no surety bond in place.

Firm Name: _____

C. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If “yes,” attached a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If “yes,” attach a separate signed page describing each citation.

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If “yes,” attach a separate signed page describing each citation.

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

32. List your firm’s Experience Modification Rate (EMR) (California workers’ compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers’ compensation insurance carrier.

Current year: _____

Previous year: _____

Firm Name: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

33. Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)

Prevailing Wage and Apprenticeship Compliance Record

34. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the **state's** prevailing wage laws?

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

☐ Yes ☐ No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

35. During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

If "yes," attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Firm Name: _____

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

☐ Yes ☐ No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

PART IV. ORGANIZATION'S RECENT CONSTRUCTION PROJECTS COMPLETED AND PROJECT MANAGER EXPERIENCE

37. Contractor shall provide information on at least six most recently completed public works projects completed since August 31, 2005 of the types defined below and meeting the following requirements:
1. The listed projects must have a combined construction value of at least \$100 million;
 2. At least one of the listed projects must have a construction value of at least \$25 million;
 3. The Prospective Bidder must have self-performed at least 50% of the work on each of the projects; and
 4. All Municipal Wastewater and Water Treatment Plant projects completed in California since August 31, 2005 with a construction value of \$25 million or more must be included in the list.
 5. At least three of the projects listed must be type "a", "b", or "c" from the type of acceptable projects defined below:
 - a. Municipal Wastewater Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Contractor's contract;
 - or
 - b. Municipal Water Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Contractor's contract;
 - or
 - c. Municipal Wastewater or Water Pump Station where the electrical, mechanical and instrumentation systems were part of the Contractor's contract.

The list of projects may include projects currently under construction, but only the total amount paid by the Owner(s) as of August 31, 2013 on uncompleted project(s) can be included in this summation of construction work.

A municipal water or wastewater treatment plant project is defined as a project that was engineered and constructed for a municipally owned and operated facility which is designed to remove contaminants, specific constituents, and/or particulates in water and/or wastewater as required by a State issue discharge permit. Municipal pump stations convey sewage or water to or from these treatment facilities.

Prospective Bidder also certifies that Prospective Bidder self-performed at least fifty percent (50%) of the Work on each of the projects listed below. The Owner considers this level of past self-performance demonstrates a benefit to a Project in terms of better control of cost, schedule and safety.

If the Prospective Bidder is a joint Venture or two or more companies, each participant in the Joint Venture shall meet this prior project experience requirement and provide project information for each Joint Venture participant in the format found below. In addition, the joint

Firm Name: _____

venture must demonstrate that they have prior experience working together as a joint venture on at least three of the projects listed as reference projects listed below.

Any projects listed below, which do not satisfy all of the above requirements, will not be considered by the Owner in meeting this pre-requisite experience requirement. For example, pipeline projects, and reservoirs are not considered a treatment plant or pump station project.

Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Firm Name: _____

Project Number: _____

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

Architect or Engineer Contact (name and current phone number):

Construction Manager (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Firm Name: _____

38. The Prospective Bidder shall name below the person who will be assigned the responsibility of managing its construction of the Project (hereafter, the "Project Manager"). The Project manager shall be personally present on site full-time during Construction. Submit past related municipal water and/or wastewater treatment plant project experience for this person. List three completed wastewater treatment plant projects and/or water treatment plant projects below where the individual named below held the position of Project Manager. One of the listed treatment plant projects must have a final contract amount of at least **\$15 million** where this person held the role of Project Manager. The demonstrated experience of the Project Manger must have been within the last (7) seven years.

Prospective Bidders may submit one or more alternate names for this position of Project Manager in the event the first named person is not available. If the Prospective Bidder elects to name an alternate Project Manager, the Prospective Bidder shall complete and submit another experience form for this individual with this pre-qualification package. Each alternate Project Manager must be clearly designated as an alternate Project Manager and must meet the required minimum level of treatment plant experience defined above as a Project Manager. The list of water treatment plant projects and/or wastewater treatment plant projects completed by any alternate Project Manager must be different than the municipal water and/or wastewater treatment plant projects shown as completed by any other named Project Manager.

Name of Project Manager: _____

Number of Years of Total Construction Experience as a Project Manager of Wastewater/Water Treatment Project: _____

Number of Years as a Project Manager for your company: _____ years

Firm Name: _____

Project #1 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager Contact (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Firm Name: _____

Project #2 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager Contact (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Firm Name: _____

Project #3 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager Contact (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

* * * * *

Firm Name: _____

PART V. ORGANIZATION'S FINANCIAL STATEMENTS, SURETY AND BONDING REQUIREMENTS, AND INSURANCE REQUIREMENTS

Name of Organization _____

39. Financial Statements and Supplemental Information

Financial pre-qualification will be established by determining capacity to perform the County of San Luis Obispo contract in the following manner:

- a. Working capital is determined from the most recent balance sheet submitted, by subtracting the current liabilities from current assets.
- b. Available lines of credit or other credit facilities are then added to the working capital, and then the sum is multiplied by ten (10).
- c. Uncompleted work on current contracts, which have been awarded to your organization (backlog), will be subtracted from the amount determined in paragraph "b" above.
- d. Any positive numbers resulting from paragraph "c" above is the maximum County contract that can be awarded to the submitting organization. This amount must be greater than \$41 million in order to pre-qualify.

Should your organization not qualify on the basis of the above calculation, the County may consider other alternative information you can provide that, in its sole judgment, indicates clearly your ability to meet the financial requirements of the anticipated County contract. This information must include the required data described below, and sufficient supplemental analysis and description as needed to clearly present your position. This information must be submitted with your application. It is your responsibility to make the above described calculation and determine if additional information will be required to demonstrate your ability to perform the project.

Information you must submit includes:

- a. Full set of financial statements for your most recent three (3) complete fiscal years, accompanied by either an audit or review report by an independent Certified Public Accountant. ***Compiled or internally prepared financial statements will not be accepted.*** Statements, which are older than six (6) months, must be supplemented by internally prepared financial statements, which update the information to no more than six (6) months from the date of submission of the application. Such statements must be prepared in accordance with generally accepted accounting principles, including all required information disclosures.
- b. Letter from a financial institution in support of available lines of credit or other facilities, if you wish them to be considered in pre-qualification. See attached "General Statement of Bank Credit" for sample language; Attachment – 1A.
- c. Schedule indicating contracts, which have been awarded to you, and reconciling the original award, any amendments, completed portion and uncompleted portion of such contracts. This is your backlog of work awarded but not yet complete.

Firm Name: _____

40. Surety and Bonding Requirements

- a. Bonding capacity: Provide documentation from your surety identifying the following:
- Name of bonding company/surety.
 - Name of surety agent, address and telephone number
 - Attach a statement from the bonding company your firm proposes to use indicating their commitment to provide a Performance and Payment Bond for the full amount of the contract.
- b. List the names of the Bonding firms/Sureties (name and full address) utilized by your organization in the last five (5) years, for at least one project over \$25,000,000 and at least two projects over \$15,000,000.

Name of Bonding Company No. 1 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Project Name: _____

Amount Bonded: _____ %

Completed: _____

Firm Name: _____

Name of Bonding Company No. 2 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Name of Bonding Company No. 3 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Project Name: _____

Amount Bonded: _____ %

Completed _____

Firm Name: _____

41. Insurance Requirements

Each policy of insurance carried by the successful bidder for this project shall be issued by an insurance company licensed to do business in the State of California with a rating of "A" or better and a financial size category of "V" or better according to the latest edition of "Bests".

- a. Attach a statement from the Worker's Compensation carrier specifying organization's current Experience Modification rating for Worker's Compensation in the State of California.
- b. List the names of the insurance firms utilized by your organization in the last five (5) years, for at least one project over \$25,000,000 and at least two projects over \$15,000,000.

Name of Insurance Company No. 1 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Name of Insurance Company No. 2 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Name of Insurance Company No. 3 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Firm Name: _____

PART VI. ATTACHMENTS REQUIRED

Name of Organization _____

The following documents, Attachments 1 through 7, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification for the aforementioned project.

Failure to provide all these attachments will be cause for disqualification for this project.

- **Attachment 1** – Copy of CPA's License
- **Attachment 1A** – General Statement of Bank Credit
- **Attachment 1B** – Schedule of contracts which have been awarded to you but are incomplete. This schedule should reconcile the original award, any amendments, the completed portion, and the uncompleted portions of such contracts. This is your backlog of work awarded but not yet complete.
- **Attachment 2** – Notarized Statement from Bonding Company
- **Attachment 3** – Notarized Statement from Worker's Compensation Insurance Carrier
- **Attachment 4** – Current Copy of Organization's California Contractor's License(s)
- **Attachment 5** – Certification declaring that the applying Organization has not had a surety company finish work on any project within the last five (5) years.
- **Attachment 6** – Certification declaring that the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a nolo contendere plea to have submitted a false or fraudulent claim to a public agency
- **Attachment 7** – Certification declaring that the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to Public Contract Code, Section 10162

Firm Name: _____

Attachment 1 – Copy of CPA's License

Exchange this page for Copy of CPA's License.

Firm Name:_____

Attachment 1A – General Statement of Bank Credit

Exchange this page for a General Statement of Bank Credit.

Firm Name: _____

Attachment 1B – Schedule of contracts which have been awarded to you but are incomplete.

Exchange this page for a schedule of contracts which have been awarded to you but are incomplete. This schedule should reconcile the original award, any amendments, the completed portion, and the uncompleted portions of such contracts. This is your backlog of work awarded but not yet complete.

Firm Name: _____

Attachment 2 – Notarized Statement from the Bonding Company

Exchange this page for a notarized statement from the bonding company that your organization proposes to use, indicating their commitment to provide Performance and Payment bonds for the full amount of the contract.

Firm Name: _____

Attachment 3 – Notarized Statement from the Worker’s Compensation Carrier

Exchange this page for a notarized statement from the Worker’s Compensation carrier that your organization proposes to use, specifying Contractor’s current Experience Modification Rating for Workers’ Compensation for the State of California.

Firm Name: _____

Attachment 4 – Current Copy Organization’s California Contractor’s License(s)

Exchange this page for a current copy of your organization’s California Contractor’s License(s).

Firm Name: _____

Attachment 5 – Certification Declaring Applying Organization Has Not Had Surety Finish Work on any Project within last Five Years

Exchange this page for a certification declaring that the applying organization has not had a surety company finish work on any project within the last five (5) years.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the organization has not had a surety company finish work on any project within the last five (5) years.

Signed: _____

Dated: _____

Firm Name: _____

Attachment 6 – False or Fraudulent Claim

Exchange this page for a certification declaring that the applying organization in the last five (5) years has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the foregoing is true and correct. In the last five (5) years that the organization, any affiliate, parent or subsidiary company has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Signed: _____

Dated: _____

Firm Name: _____

Attachment 7 – Disqualification or Removal

Exchange this page for a certification declaring that the applying organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Signed: _____

Dated: _____

SECTION 4: SCORING

Section 4 sets forth a uniform system of rating Contractors who are prospective bidders on the Los Osos Water Recycling Facility, based on the objective criteria and scoring methods below.

The application consists of six parts which must be completed by a Prospective Bidder seeking pre-qualification.

Part I: Organization Information and Affidavit

This part is not scored, but must be completed in order to be eligible to pre-qualify. Failure to include the information called for may result in disqualification.

Part II: Essential Requirements for Qualification

All questions in this part are pass/fail. Contractor must provide an acceptable answer on all questions in order to be eligible to pre-qualify.

Part III: Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws

This part includes scorable questions that are divided into two sub-parts.. Contractor must receive a passing score in each sub-part to be eligible to pre-qualify.

- Part III.A and B: History of the business and organizational performance. Contractor must have score of 60 points or more to pass this sub-part (of a maximum possible score of 76).
- Part III.C: Compliance with occupational safety and health laws, workers' compensation and other labor legislation. Contractor must have score of 33 points or more to pass this sub-part (of a maximum possible score of 43).

Part IV: Organization's Recent Projects Completed and Project Manager Experience

This part requires Contractors to provide information on projects recently completed by the organization and the proposed project manager for the Los Osos Water Recycling Facility. The County will conduct interviews with the owners of the reference projects and score a series of interview questions based on the response from the interviewed reference project owners.

Contractor must provide all of the requested information meeting the criteria listed in questions 37 and 38 in order to be eligible to pre-qualify. In addition, Contractor must have a score of 85 points or more on at least two reference project interviews to pass this sub-part and be eligible to pre-qualify. An interview score of less than 70 points disqualifies a Contractor (of a maximum possible score of 130).

Part V: Organization's Financial Statements, Surety and Bonding Requirements, and Insurance Requirements

This part is not scored, but all of the required information must be submitted and must meet the financial capability, bonding history, insurance history and insurance ratings required for each item in

Firm Name: _____

order to be eligible to pre-qualify. Failure to include the information called for may result in disqualification.

Part VI: Attachments Required

This part is not scored, but all attachments must be submitted in order to be eligible to pre-qualify. Failure to include the information called for may result in disqualification.

Scoring for Questions from Part II: Essential Requirements for Qualification:

1. Contractor possesses a valid and current California Contractor's license for the project or projects for which it intends to submit a bid.

Contractor has Valid California Contractor's License	Qualification
Yes	OK
No	Disqualified
Valid California Contractor's license before submitting a bid	OK

2. Contractor has or has ability to obtain a liability insurance policy with a policy limit of at least \$5,000,000 per occurrence and \$10,000,000 aggregate, and \$15,000,000 excess umbrella policy.

Contractor has ability to obtain a liability insurance policy with specified limits	Qualification
Yes	OK
No	Disqualified

3. Contractor has current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.

Contractor has Current Worker's Comp or Self-Insured	Qualification
Yes	OK
No	Disqualified

4. Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.

Contractor has Copy of Reviewed or Audited Financial Statement	Qualification
Yes	OK
No	Disqualified

Firm Name: _____

5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California?

Notarized Statement Attached of Surety Insurer	Qualification
Yes	OK
No	Disqualified

6. Does your firm have a documented Health & Safety Policy?

Firm has a documented Health & Safety Policy	Qualification
Yes	OK
No	Disqualified

7. Has your contractor's license been revoked at any time in the last five years?

Notarized Statement Attached of Surety Insurer	Qualification
Yes	Disqualified
No	OK

8. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five (5) years?

Surety Completed a Contract on Your Behalf in Last 5 Years	Qualification
Yes	Disqualified
No	OK

9. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

Firm Ineligible to Bid on Public Works Contract	Qualification
Yes	Disqualified
No	OK
Debarment	OK

Firm Name: _____

10. At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

Firm Convicted of Crime Involving the Awarding of a Contract of a Govt. Project in Last 5 Years	Qualification
Yes	Disqualified
No	OK

Scoring for Questions from Part III A and B: History of the Business and Organizational Performance:

1. Question not scorable, but must be completed to qualify.
2. Question not scorable, but must be completed to qualify.
3. Question not scorable, but must be completed to qualify.
4. Question not scorable, but must be completed to qualify.
5. Question not scorable, but must be completed to qualify.
6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

Years in Business in California	Points Awarded
3 or less	2
4	3
5	4
6 or more	5

7. Is your firm currently the debtor in a bankruptcy case?

☐ Yes ☐ No

Firm Currently Debtor in Bankruptcy Case	Points Awarded
Yes	0
No	3

8. Was your firm in bankruptcy any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above).

☐ Yes ☐ No

Firm Name: _____

Firm In Bankruptcy in the Last 5 Years	Points Awarded
Yes	0
No	3

Licenses

9. Question not scorable, but must be completed to qualify.
10. Question not scorable, but must be completed to qualify.
11. Question not scorable, but must be completed to qualify.
12. Question not scorable, but must be completed to qualify.
13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?
- ☐ Yes ☐ No

CSLB License Suspended in the Last 5 Years	Points Awarded
Yes	0
No	5

Disputes

14. At any time in the last five years, has your firm been assessed and paid liquidated damages after completion of a project, under a construction contract with either a public or private owner?
- ☐ Yes ☐ No

Instances in Last 5 Years	Liquidated Damages < or = \$50,000	Liquidated Damages > \$50,000
0	5	0
1	5	0
2	0	0

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No

Firm Name: _____

Firm Debarred or Disqualified in the Last 5 Years	Points Awarded
Yes	0
No	5

16. In the last five years, has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?
- ☐ Yes ☐ No

Firm Found To Be An Irresponsible Bidder in the Last 5 Years	Points Awarded
Yes	0
No	5

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about “pass-through” disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years, has any claim **against** your firm concerning your firm’s work on a construction project, been **filed in court or arbitration**?
- ☐ Yes ☐ No

Court Claims Against Firm in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

18. In the past five years, has your firm made any claim against a project owner concerning work on a project or payment for a contract, and **filed that claim in court or arbitration**?
- ☐ Yes ☐ No

Firm Name: _____

Court Claims Filed by Firm in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf in connection with a construction project, either public or private?

☐ Yes ☐ No

Bond Claims Payed by Surety in Last 5 Years	Yes	No
1	5	5
2	3	
>2	-5	

20. In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

☐ Yes ☐ No

Policy Renewals Refused by Insurance in Last 5 Years	Yes	No
1	5	5
2	3	
>2	0	

Firm Name: _____

Criminal Matters and Related Civil Suits

21. Has your firm, or any of its owners, officers, or partners ever been found liable in a civil suit, or found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

Found Liable or Guilty in Civil Suit or Criminal Action for False Claims	Awarded Points
Yes	-5
No	5

22. Has your firm, or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

Convicted of a Const. Related Crime on Federal, State or Local Law Level	Awarded Points
Yes	-5
No	5

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

Convicted of Fraud or Theft on Federal or State Level	Awarded Points
Yes	-5
No	5

BONDING

24. Question not scorable, but must be completed to qualify.

25. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

_____ %

Performance Bond Premium Percentage for Last 3 Years	Points Awarded
< or = 1%	5
> 1% and < 1.10%	3
> 1.1%	0

Firm Name: _____

26. Question not scorable, but must be completed to qualify.
27. During the last five years, has your firm ever been denied bond credit by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

☐ Yes ☐ No

Firm Denied Bond Coverage in Last 5 Years	Points Awarded
Yes	0
No	5

Scoring for Questions from Part III C: Compliance with safety, workers compensation and prevailing wage laws:

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

Note: If you have filed an appeal of a citation and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If the firm’s average gross revenues for the last three years was less than \$50 million, scoring is as follows:

Cal OSHA Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

Firm Name: _____

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

Note: If you have filed an appeal of a citation and the appropriate appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If yes, attach a separate signed page describing each citation.

Federal OSHA Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If the firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

Environmental Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

Firm Name: _____

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

3 points for an answer of once each week or more often. 0 points for any other answer

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher, you may, if you wish, attach a letter of explanation.

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Average EMR for Past 3 Years	Points Awarded
0.95 or Less	5
Between 0.95 and 1.00	3
Other	0

33. Within the last five years, has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

Period(s) without Worker's Comp	Points Awarded
0-1	5
Other	0

34. Has there been more than one occasion during the last five years on which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the **state's** prevailing wage laws?

☐ Yes ☐ No

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

Firm Name: _____

Number of times your firm's failure to comply with the state's prevailing wage laws in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	5	5
3	3	5
4	0	5
5-6	0	3
>6	0	0

35. During the last five years, has there been more than one occasion on which your own firm has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

Number of times your firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	5	5
3	3	5
4	0	5
5	0	3
6	0	3
>6	0	0

36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998 if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

☐ Yes ☐ No.

If yes, provide the date(s) of such findings, and attach copies of the Department's final decision(s).

Firm Name: _____

Number of times your firm been found to have violated any provision of California apprenticeship laws or regulations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	5	5
3	3	5
4	0	5
5	0	3
6	0	3
>6	0	0

Firm Name: _____

Scoring for Questions from Part IV: Organization's Recent Construction Projects Completed and Project Manager Experience:

37 and 38. The County of San Luis Obispo will conduct the interviews. No action on the Prospective Bidder's part is necessary. These questions are included in the package to the Prospective Bidder for information only.

The following questions will be used to interview randomly selected contacts for at least two (2) reference projects (may be selected from Prospective Bidder experience or Project Manager Experience). The highest possible interview score is 130 points for each interview. A score of less than 70 points disqualifies a Contractor from bidding on the Project. A score of between 70 and 85 on interviews conducted will result in the consideration of additional surveys. To prequalify, a score of at least 85 or more on at least two of the interviews conducted is required.

Interview Questions and Scoring

1. Are there any outstanding stop notices, liens, or claims by the Prospective Bidder that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points).
2. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate personnel? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate supervision? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
5. On a scale of 1-10, with 10 being the best, was the Prospective Bidder timely in providing reports and other paperwork, including change order paperwork and scheduling updates? (Max. 10 points)
6. On a scale of 1-10, with 10 being the best, did the Prospective Bidder adhere to the project schedule that your (agency) (business) approved? (Max. 10 points)
7. Was the project completed on time? (10 points if the answer is "Yes") Or, if the answer is "no", on a scale of 1-10, with 10 being the least responsible, to what extent was the Prospective Bidder responsible for the delay in completion? (Max. 10 points)
8. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on the timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)
9. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on how well the Prospective Bidder performed the work after a change order was issued and how well the Prospective Bidder integrated the change order work into existing work. (Max. 10 points)
10. On a scale of 1-10, with 10 being the best, rate how the Prospective Bidder performed in turning in Operations & Maintenance manuals, completing as-built drawings, providing required training and taking care of warranty items? (Max. 10 points)

Firm Name: _____

11. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on whether there were a high number of claims, given the nature of the project, or difficulty in resolving them. (Max. 10 points)

12. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder with respect to timely payments by the Prospective Bidder to subcontractors and suppliers. (If the person being interviewed knows of no such difficulties, the score on this question should be "10.")

13. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder with respect to safety. Was shoring provided properly, were lock / out tag out procedures followed, did the Prospective Bidder provide routine safety training? (Max. 10 points)

14. On a scale of 1-10, with 10 being the best, how would you rate the overall quality of the Prospective Bidder's work? (Max. 10 points)

(130 Points = highest ratings on all questions)

* * * * *

**NOTICE TO GENERAL CONTRACTORS
FOR THE FOLLOWING SPECIALTY TRADE:**

**ELECTRICAL, INSTRUMENTATION, AND CONTROL
SYSTEMS**

**PRE-QUALIFICATION OF ELECTRICAL
SUBCONTRACTORS SEEKING TO PARTICIPATE IN BIDS
FOR**



County of San Luis Obispo
Los Osos Water Recycling Facility
Project No 300448.08.02
Los Osos, California

RSOQ #1228-13

STATEMENTS OF

PRE-QUALIFICATION DUE:

SEPTEMBER 5, 2013 AT OR BEFORE 3:00 P.M.

CONTENTS OF PRE-QUALIFICATION PACKAGE

Notification Announcement

Section 1: General Instructions and Information

- A. General Information
- B. Data required
- C. Current Financial information
- D. Accountant's Certificate and Supplemental Financial Information
- E. Affidavits
- F. Questions
- G. County of San Luis Obispo Rights
- H. Appeal Rights

Section 2: Project Overview

- A. Project Location
- B. Project Description

Section 3: Application for Pre-Qualification *[Document to Submit]*

- Part I – Organization Information and Affidavit
- Part II – Essential Requirements for Qualification
- Part III – Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws
- Part IV – Organization's Recent Construction Projects Completed and Project Manager Experience
- Part V – Attachments Required

Section 4: Scoring

**NOTIFICATION OF PRE-QUALIFICATION OF
ELECTRICAL SUBCONTRACTORS
Seeking to Participate in Bids on the Construction of
County of San Luis Obispo
Los Osos Water Recycling Facility, #300448.08.02
Los Osos, CA**

NOTICE IS HEREBY GIVEN that the County has determined that Electrical Subcontractors who intend to participate in bids on the construction contract for the Los Osos Water Recycling Facility ("Project") must be pre-qualified prior to being able to participate in the bidding process for this project. The pre-qualification evaluation is solely for the purpose of determining which Subcontractors are deemed pre-qualified for the successful performance of the construction of the Project in a timely manner. The act of providing a pre-qualification submittal does not, in itself, guarantee that pre-qualification will be granted or that the Subcontractor will receive a contract in connection with the Los Osos Water Recycling Facility.

The County of San Luis Obispo ("County") seeks to pre-qualify sub-contractors ("Subcontractor") to perform Electrical Specialty Trade Work for the construction of the Los Osos Water Recycling Facility, and now invites sealed Pre-qualification Applications.

A Subcontractor must be on the final list of pre-qualified bidders in order to participate in bids. A Subcontractor who desires to pre-qualify and participate in bids must have specific relevant experience completing water or wastewater treatment facilities.

The engineer's construction estimate for the total Project is **\$41,000,000**. The Water Recycling Facility will provide treatment and support facilities on a 14 acre site for the newly constructed community wastewater system in Los Osos. Flows from the new collection system will be delivered to the facility by a single force main originating from the Mid-Town Pump Station, approximately 2.5 miles west. The facility will serve as the operational headquarters for the wastewater collection and recycled water reuse systems, as well as the treatment operations and include administrative and maintenance buildings. The facility will treat up to 1.2 MGD of wastewater to meet CA Title 22 tertiary standards and meet a total nitrogen limit of 7 mg/L monthly average. Recycled water storage ponds for more than 30 acre-feet and an effluent pump station to deliver recycled water back to the community are also included in the construction contract

The County is also concurrently in the process of pre-qualifying General Contractors (Class "A" license). Prequalification documents for General Contractors can be found on the County General Services Web Site listed below. Should a General Contractor plan to self-perform the electrical work, it will need to complete the pre-qualification process for Electrical Subcontractors to demonstrate the General Contractor's experience and qualifications to self-perform the electrical work. The portion of work related to Electrical, Instrumentation, and Controls is approximately \$5 million of the total project cost.

The Pre-qualification process will include the submittal by Subcontractors of completed Pre-qualification Documents within the prescribed deadline and the County's evaluation of Pre-qualification Document responses based on a uniform system of rating the pre-qualification application. Only pre-qualified Subcontractors will be eligible to participate in the bidding process.

Pre-qualification documents can be found at the County General Services Web Site listed below.

SUBMISSION OF PRE-QUALIFICATION APPLICATIONS

Pre-qualification Applications may be obtained from the General Services Agency receptionist at 1087 Santa Rosa, San Luis Obispo, CA, (805) 781-5200 and are also posted on the County's Purchasing website at:

www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm

Any changes, additions, deletions, clarifications to this application process will be in the form of a written addendum issued by the County. **Addendums shall be posted on the website. Subcontractors must check the website for Addendums or other relevant information during the response period.** All addendums become a part of this application request. The County is not responsible for the failure of any prospective applicant to receive such addendum and information issued during the response period. It is solely the responsibility of each Subcontractor to ensure that they receive any and all addenda.

Requests for Clarification of the process or the documents must be in writing and submitted by mail or email to the project manager listed below, no later than 5:00 p.m. (PST), **August 26, 2013**. The County reserves the right to determine the appropriateness of the comments/questions that will be posted on the Website.

John Waddell, PE
County of San Luis Obispo, Public Works
County Government Center, Room 207
San Luis Obispo, California 93408
Email: jwaddell@co.slo.ca.us

Applications must be received by **3:00 p.m. (PST) on September 5, 2013** at the below address. No fax or e-mail copies will be accepted. Submit one (1) original application, one (1) hard copy of the original application, and one (1) electronic copy of the original application to:

County of San Luis Obispo, General Services Agency
Missy Viles, GSA Purchasing
1087 Santa Rosa, San Luis Obispo, CA 93408
(805) 781-5216, mviles@co.slo.ca.us

Submit applications in sealed envelopes with the following clearly marked on the package:

Electrical Subcontractor

CONFIDENTIAL:

Pre-Qualification Application #1228-13

County of San Luis Obispo

LOS OSOS WATER RECYCLING FACILITY, # 300448.08.02

Subcontractor Business Name and Business Address

It is **mandatory** that all contractors who intend to submit a bid for the construction of the Los Osos Water Recycling Facility Project utilize electrical subcontractors which fully complete the pre-qualification questionnaire, provide all materials requested therein, and be found pre-qualified by a County appointed evaluation committee in order to be placed on the pre-qualified bidders list. No bid for the upcoming construction of the Water Recycling Facility will be accepted from a contractor for which the Subcontractor has failed to comply with these requirements.

APPLICATION FOR PRE-QUALIFICATION OF ELECTRICAL SUBCONTRACTORS

Seeking to Participate in Bids on the Construction of
San Luis Obispo County
Los Osos Water Recycling Facility, #300448.08.02
Los Osos, California

Pre-Qualification Process Administered by
COUNTY OF SAN LUIS OBISPO, GENERAL SERVICES AGENCY
1087 Santa Rosa Street
San Luis Obispo, CA. 93408

The following Application for Pre-qualification document is distributed with the intent to pre-qualify Subcontractors for construction of the Los Osos Water Recycling Facility (Project).

The engineer's construction estimate for the total Project is **\$41,000,000**. The Water Recycling Facility will provide treatment and support facilities on a 14 acre site for the newly constructed community wastewater system in Los Osos. Flows from the new collection system will be delivered to the facility by a single force main originating from the Mid-Town Pump Station, approximately 2.5 miles west. The facility will serve as the operational headquarters for the wastewater collection and recycled water reuse systems, as well as the treatment operations and include administrative and maintenance buildings. The facility will treat up to 1.2 MGD of wastewater to meet CA Title 22 tertiary standards and meet a total nitrogen limit of 7 mg/L monthly average. Recycled water storage ponds for more than 30 acre-feet and an effluent pump station to deliver recycled water back to the community are also included in the construction contract. The portion of work related to Electrical, Instrumentation, and Controls is approximately \$5 million of the total project cost.

Applications for Pre-qualification are DUE by 3:00 p.m. (PST) on September 5, 2013. No fax or e-mail copies will be accepted. Submittals received after the specified time and date will not be considered and will be returned unopened to the sender. **THIS SUBMISSION DEADLINE WILL BE STRICTLY ENFORCED.** See Notification Announcement for further information.

See Notification Announcement for further information.

SECTION 1: GENERAL INSTRUCTIONS AND INFORMATION

A. General Information

A Contactor must have a current California Electrical Class "C10" Contractor's license in order to participate in bids for the construction contract on this Project. If Subcontractor does not currently hold an Electrical Class "C10" license, the Subcontractor must (1) state all of the reasons why it does not currently hold Class "C10" license, and (2) provide all facts and documents that show how it satisfies the State's requirements for issuance of a Class "C10" license, and (3) state the reasons why it is reasonably likely that Subcontractor will have a Class "C10" license before the County awards the construction contract on this Project.

Pre-qualification by County of San Luis Obispo, for this Project shall remain valid until the contract for construction is awarded or until responding firms are notified in writing by the County that the final pre-qualification list has expired. It is mandatory that all Subcontractors who intend to submit a bid fully complete the pre-qualification questionnaire, provide all materials requested, and be approved by San Luis Obispo County to be on the final pre-qualified Bidders list. No bid will be accepted from a general contractor whose electrical subcontractor has failed to comply with these requirements.

NOTES:

1. Joint Venture Firms shall submit one application and provide financial information and attachments for both firms and must individually meet the conditions of Part II Essential Requirements for Qualification and Part III B – organization History, Performance, and compliance with Civil and Criminal Laws.

2. Limited Liability Corporations (LLC) will be required to comply with a Guaranty of Obligations. Answers to questions contained in the attached questionnaire, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information are required. San Luis Obispo County will use these documents as the basis of rating Subcontractors in respect to the size and scope of contracts upon which each Subcontractor is pre-qualified to bid. San Luis Obispo County reserves the right to check other sources available. San Luis Obispo County's decision will be based on objective evaluation criteria. San Luis Obispo County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Subcontractors, whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating. While it is the intent of the pre-qualification questionnaire and required documents to assist San Luis Obispo County in determining bidder responsibility prior to bid and to aid San Luis Obispo County in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude San Luis Obispo County from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness to be awarded a contract pursuant to California Public Contract Code.

B. Data Required

All portions of Application for Pre-qualification Parts I through V, shall be completed, with additional information attached if the space provided does not suffice. Failure to include the

information called for may result in disqualification. It is essential that construction experience of the Subcontractor be demonstrated, as such experience is considered in establishing pre-qualification.

NOTE: The pre-qualification packages (questionnaire answers and financial statements) submitted by Subcontractors are not public records and are not open to public inspection (see Public Disclosure and Privacy section). All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

Each affidavit and certification form must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Subcontractor on whose behalf that person is signing. If any information provided by a Subcontractor becomes inaccurate, the Subcontractor must immediately notify San Luis Obispo County and provide updated accurate information in writing, under penalty of perjury.

Subcontractors shall submit pre-qualification packages during regular working hours on any day that the San Luis Obispo County, General Services Agency offices are open, up to 3:00 PM, local time, on the application submittal deadline date. San Luis Obispo County may refuse to grant pre-qualification where the requested information and materials are not provided by the submittal deadline. The closing time for applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

All documents submitted to the County in response to this Pre-qualification process will become the exclusive property of the County and may be returned to the proposer or kept by the County, in the County's sole discretion

C. Current Financial Information

Subcontractor shall provide a complete financial statement indicating organization's financial condition. Financial statements provided by subcontractors shall not be older than six (6) months prior to the date of filing this Pre-qualification Application. The financial statements are to be reviewed and audited, and submitted with any accompanying notes and supplemental information. The County of San Luis Obispo reserves the right to reject financial statements in which the financial condition reported is of a date six (6) months or more prior to the date of filing.

D. Accountant's Certificate and Supplemental Financial Information

The financial statements submitted by the Subcontractor must be audited or reviewed by a Certified Public Accountant (CPA). The CPA should submit a copy of his/her current license as proof of the accountant's qualifications to issue reviewed or audited financial statements. The license shall be signed and shall indicate the license/certificate number.

Bearing in mind that working capital is an important factor in determining the prequalification of the Subcontractor, the accountant will perform a valuable service for their client and at the same time assist the County, if they will furnish supplemental schedules to provide any information not

specifically called for by the statement which in their opinion might be taken into consideration. In the event that the Subcontractor's job income and expenditures are accounted for on a completed contract basis and the balance sheet includes an item reflecting the excess of costs to date over billings to date, or vice versa, the elements of "Accumulated Costs" and "Billings to Date" must be shown in support of the balance sheet item.

E. Affidavits

The required affidavits must be completely executed or the applicant will be disqualified.

F. Questions

Subcontractors are required to submit any questions in writing no later than 5:00 PM, local time, seven days before the application due date. Questions received less than ten days before the application deadline may not be responded to. Only written inquiries will be permitted. Questions must be submitted in writing, by mail or email to the Project Manager:

John Waddell, PE
County of San Luis Obispo, Public Works
County Government Center, Room 207
San Luis Obispo, California 93408
Email: jwaddell@co.slo.ca.us

Only written inquiries will be responded to. Under no circumstance are any prospective Subcontractors or anyone receiving the Application for Pre-qualification, to contact, discuss with, or inquire of any County consultant, employee, or elected official on any matter relating to this solicitation process. This requirement is to ensure that the same information is communicated to all parties and that no inconsistent, incomplete, or inaccurate information is transmitted separately.

G. County of San Luis Obispo Rights

The County reserves the right to waive minor irregularities and omissions in the information contained in the Pre-qualification Application submitted, and to make all final determinations. The County also reserves the right to terminate this Pre-qualification process at any time.

The County may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by the date specified above. The closing time for the submission of Pre-qualification Applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

The County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequent learned information. Any Subcontractors whose pre-qualification rating is so adjusted by an amount that would preclude them from bidding on the Project will be notified and given an opportunity for an appeal hearing consistent with the hearing procedures described for appealing a pre-qualification rating. While it is the intent of the Pre-qualification Documents to assist the County in determining bidder responsibility prior to bid and to aid it in selection of the lowest responsible bidder, the pre-qualification will not preclude the County from conducting a post-bid evaluation of whether a bidder is a responsible bidder under applicable law.

H. Appeal Rights

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is initiated by the Subcontractor delivering written notice to San Luis Obispo County General Services Agency of Subcontractor's appeal of the decision with respect to its pre-qualification rating, **no later than ten (10) business days** following the date of written notification from the County that the Subcontractor does not meet the rating established by the County. The written notice of appeal must contain a complete statement of all grounds for the appeal, and must refer to the specific portions of the rating documentation that are the basis of the Protest.

Without a timely appeal, the Subcontractor waives any and all rights to challenge the County's decision that the Subcontractor is not eligible to bid on the Project, regardless of whether the challenge is by administrative process, judicial process or any other legal process or proceeding. If the Subcontractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after the County's receipt of the notice of appeal. The hearing shall be an informal process conducted by an Appeals Panel consisting of staff or professionals that have had no involvement in the pre-qualification selection process. At the Subcontractor/Appellant's request, the Subcontractor will be advised of the basis for the County's pre-qualification determination. The Subcontractor will be given the opportunity to present information and present reasons in opposition to the rating. Within five (5) business days after the conclusion of the hearing, the Appeals Panel will render its decision which shall be final and not subject to further appeal. The date for the submission and opening of bids will not be delayed or postponed during the processing of any appeals.

Note: A Subcontractor will be found not pre-qualified for bidding on the construction contract for the aforementioned specific Los Osos Water Recycling Facility if the Subcontractor receives a rating below that necessary to pre-qualify. Additional grounds upon which a Subcontractor may be found not pre-qualified include:

- (1) Omission of requested information or
- (2) Falsification of information

SECTION 2: PROJECT OVERVIEW

A. Project Location

The site is located on undeveloped property that is located approximately 1.5 miles east of Los Osos, and about 1,500 feet north of the intersection of Clark Valley Road with Los Osos Valley Road. The site is approximately 14 acres that has been used mainly as farmland. The site is bordered on all sides by mostly vacant land. There is a single family home to the west of the site. The Los Osos Valley Memorial Park cemetery is located to the south.

The project delivery method for Los Osos Water Recycling Facility will be through a single prime contract awarded to the lowest responsible bidder. The County's current estimate of probable construction costs is \$41,000,000 and the estimated construction duration is 20 months.

B. Project Description

The Water Recycling Facility will provide treatment and support facilities for the newly constructed community wastewater system in Los Osos. Flows from the new collection system will be delivered to the facility by a single force main originating from the Mid-Town Pump Station, approximately 2.5 miles west. The facility will serve as the operational headquarters for the wastewater collection and recycled water reuse systems, as well as the treatment operations and include administrative and maintenance buildings. The facility will treat up to 1.2 MGD of wastewater to meet CA Title 22 tertiary standards and meet a total nitrogen limit of 7 mg/L monthly average. Recycled water storage ponds for more than 30 acre-feet and an effluent pump station to deliver recycled water back to the community are also included in the construction contract. The following is a summary of the major components of the project:

1. Preliminary Treatment: Headworks to protect downstream processes and equipment by removing coarse material from the influent wastewater. An odor control facility will provide plant-wide treatment of foul air, addressing anticipated odor sources at the headworks, splitter box, and solids processing.
2. Secondary Treatment: Biological treatment of the wastewater to remove biochemical oxygen demand, suspended solids, and nutrients in the water. The secondary treatment facilities will consist of an oxidation ditch extended aeration process, secondary clarifiers, and sludge pump station.
3. Tertiary Treatment: Process to produce effluent that meets CA Title 22 Recycled Water criteria will consist of filter influent pumping, coagulation, filtration, ultraviolet disinfection, and sodium hypochlorite for chlorine residual control.
4. Effluent Pumping and Storage: Includes a common effluent pump station and on-site storage ponds providing approximately 30 acre-feet of storage. The pump station will meet all effluent pumping needs, including on-site irrigation and utility water, and pump to a single distribution main that will serve multiple irrigation and percolation sites in the community.
5. Solids Handling: Includes sludge storage tanks, sludge dewatering system, dewatered cake conveyance with discharge to trucks for hauling off-site.

Upon completion of the Water Recycling Facility the entire community wastewater system must proceed through a start-up process. The service area, which currently utilizes individual septic

systems, must transition to centralized sewer service by the connection of approximately 4,800 individual users, over approximately one year. As a result, initially influent flows will start at zero and slowly increase to expected daily flows over the course of the year. To facilitate this process, the County plans to require the contractor, through the contract documents, to perform a start-up and commissioning period until flows are sufficiently established to determine that the facility is properly functioning and that there are no defects in the work.

Construction Plans

A subset of the 90% Design Plans is available for viewing and downloading from the web site. Plans are for reference purposes only (Not for Construction). Plans can be downloaded from:

http://www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm.

Contractor Project Milestone Schedule

The County currently anticipates conducting the procurement of the Los Osos Water Recycling Facility in accordance with the following milestones, leading to award of a construction contract. This schedule is subject to revision and the County reserves the right to modify this schedule as it finds necessary.

Issue Application for Pre-qualification	August 6, 2013
Deadline for Questions	August 26, 2013
PRE-QUALIFICATION APPLICATION DUE	September 5, 2013
Notification of Pre-Qualified Contractors	September 20, 2013
Issue of Bid Documents	September 17, 2013
Bids Due	October 31, 2013
Contract Award	November 26, 2013

Firm Name: _____

SECTION 3: APPLICATION FOR PRE-QUALIFICATION

An Interactive PDF for Section 3 is provided on the web site and Subcontractors may choose to use all or part of this form in their submittals. Prior to submittal of hard copies printed from the interactive PDF, Subcontractor is responsible for ensuring all information entered is shown on the hard copies.

Firm Name: _____

The specific documents that must be submitted and attached are:

Part I – Organization Information and Affidavit

Part II – Essential Requirements for Qualification

Part III – Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws

Part IV – Organization's Recent Construction Projects Completed and Project Manager Experience

Part V – Attachments Required

Firm Name: _____

PART I. ORGANIZATION INFORMATION AND AFFIDAVIT

The following documents, Pre-qualification Application, Parts I through V, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification, in accordance with the Public Contract Code, for the aforementioned Project:

Firm Name: _____
(as it appears on license)

Check One:

☐ Corporation

☐ Partnership

☐ Sole Prop

☐ Joint Venture (each organization to submit separately sections Part II and Part III B)

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

E-Mail: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s) Classification(s), expiration date(s): _____

AFFIDAVIT

I, the undersigned, certify and declare that I have read all the following answers to this pre-qualification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Dated: _____

(Authorized Signature)

(Printed name and title)

Firm Name: _____

ADDENDUM ACKNOWLEDGEMENT

Contractors must check the website for Addendums or other relevant information during the response period. All addendums become a part of this application request. The County is not responsible for the failure of any prospective applicant to receive such addendum and information issued during the response period. It is solely the responsibility of each contractor to ensure that they receive any and all addenda.

Addendum No.	Addendum Date
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Subcontractor will be immediately disqualified if the answer to any of questions 1 through 6 is “no.”

Subcontractor will be immediately disqualified if the answer to any of questions 7, 8, 9, or 10 is “yes.”¹ If the answer to question 9 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

1. Subcontractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid.

☐ Yes ☐ No ☐ Check here if you are an out-of-state contractor who performed the work described in this questionnaire and attach the following: (1) state all of the reasons why you do not currently hold Class “C10” license, and (2) provide all facts and documents that show how you satisfy the State’s requirements for issuance of a Class “C10” license, and (3) state the reasons why it is reasonably likely that you will have a Class “C10” license before the County awards the construction contract on this Project.
2. OMIT QUESTION
3. Subcontractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.

☐ Yes ☐ No ☐ Subcontractor is exempt from this requirement, because it has no employees
4. OMIT QUESTION
5. OMIT QUESTION
6. Does your firm have a documented Health & Safety Policy?

☐ Yes ☐ No
7. Has your contractor’s license been revoked at any time in the last five years?

☐ Yes ☐ No
8. OMIT QUESTION

¹ A contractor disqualified solely because of a “Yes” answer given to question 7, 8, or 10 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

Firm Name: _____

9. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes ☐ No

If the answer is "Yes," state the beginning and ending dates of the period of debarment:

10. At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

☐ Yes ☐ No

Firm Name: _____

**PART III. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE,
COMPLIANCE WITH CIVIL AND CRIMINAL LAWS**

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

1a. Date incorporated : _____

1b. Under the laws of what state: _____

1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership

1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten per cent or more of the business, or 10 per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Firm	Dates of Person's Participation with Firm

Firm Name: _____

For Firms That Are Partnerships:

1a. Date of formation: _____

1b. Under the laws of what state: _____

1c. Provide all the following information for each partner who owns 10 per cent or more of the firm.

Name	Position	Years with Co.	% Ownership

1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Company	Dates of Person's Participation with Company

Firm Name: _____

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

Person's Name	Construction Company	Dates of Person's Participation with Company

For Firms That Intend to Make a Bid as Part of a Joint Venture:

- 1a. Date of commencement of joint venture. _____
- 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

Name of firm	% Ownership of Joint Venture

Firm Name: _____

B. History of the Business and Organizational Performance

2. Has there been any change in ownership of the firm at any time during the last three years?

NOTE: A corporation whose shares are publicly traded is not required to answer this question.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?

NOTE: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms.

NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

5. State your firm's gross revenues for each of the last three years:

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

7. Is your firm currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

☐ Yes ☐ No

Firm Name: _____

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm (If no California construction licenses are currently held, provide this requested information for all other State construction licenses):

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license. (If no California construction licenses are currently held, provide this requested information for all other State construction licenses)

11. Has your firm changed names or license number in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations: officer) of your firm operated a construction firm under any other name in the last five years?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

☐ Yes ☐ No

If "yes," please explain on a separate signed sheet.

Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?

☐ Yes ☐ No

Firm Name: _____

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

☐ Yes ☐ No

If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years has any claim against your firm concerning your firm's work on a construction project been filed in court or arbitration?

☐ Yes ☐ No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

Firm Name: _____

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

☐ Yes ☐ No

If "yes," on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

* * * * *

19. OMIT QUESTION

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

☐ Yes ☐ No

If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

Criminal Matters and Related Civil Suits

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

Firm Name: _____

Bonding

- 24. OMIT QUESTION
- 25. OMIT QUESTION
- 26. OMIT QUESTION
- 27. OMIT QUESTION

C. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

- 28. Has CAL OSHA cited and assessed penalties against your firm for any "serious," "willful" or "repeat" violations of its safety or health regulations in the past five years?

NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If "yes," attached a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

- 29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If "yes," attach a separate signed page describing each citation.

- 30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If "yes," attach a separate signed page describing each citation.

- 31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

Firm Name: _____

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:
NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

33. Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)

Prevailing Wage and Apprenticeship Compliance Record

34. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the **state's** prevailing wage laws?

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

☐ Yes ☐ No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

35. During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

Firm Name: _____

If "yes," attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

☐ Yes ☐ No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

PART IV. ORGANIZATION'S RECENT CONSTRUCTION PROJECTS COMPLETED AND PROJECT MANAGER EXPERIENCE

37. Subcontractor shall provide information on at least six most recently completed public works projects completed since August 31, 2005 of the types defined below and meeting the following requirements:
1. The listed projects must have a combined electrical trades construction value of at least \$15 million;
 2. At least one of the listed projects must have an electrical trades construction value of at least \$4 million;
 3. The Prospective Bidder must have self-performed at least 75% of the work on each of the projects; and
 4. All Municipal Wastewater and Water Treatment Plant projects completed in California since August 31, 2005 with an electrical trades construction value of \$4 million or more must be included in the list.
 5. At least three of the projects listed must be type "a", "b", or "c" from the type of acceptable projects defined below:
 - a. Municipal Wastewater Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Subcontractor's contract;
 - or
 - b. Municipal Water Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Subcontractor's contract;
 - or
 - c. Municipal Wastewater or Water Pump Station where the electrical, mechanical and instrumentation systems were part of the Subcontractor's contract.

The list of projects may include projects currently under construction, but only the total amount paid by the Owner(s) as of August 31, 2013 on uncompleted project(s) can be included in this summation of construction work.

A municipal water or wastewater treatment plant project is defined as a project that was engineered and constructed for a municipally owned and operated facility which is designed to remove contaminants, specific constituents, and/or particulates in water and/or wastewater as required by a State issue discharge permit. Municipal pump stations convey sewage or water to or from these treatment facilities.

Prospective Bidder also certifies that Prospective Bidder self-performed at least seventy-five percent (75%) of the Work on each of the projects listed below. The Owner considers this level of past self-performance demonstrates a benefit to a Project in terms of better control of cost, schedule and safety.

Firm Name: _____

If the Prospective Bidder is a joint Venture or two or more companies, each participant in the Joint Venture shall meet this prior project experience requirement and provide project information for each Joint Venture participant in the format found below. In addition, the joint venture must demonstrate that they have prior experience working together as a joint venture on at least three of the projects listed as reference projects listed below.

Any projects listed below, which do not satisfy all of the above requirements, will not be considered by the Owner in meeting this pre-requisite experience requirement. For example, pipeline projects, and reservoirs are not considered a treatment plant or pump station project.

Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Firm Name: _____

Project Number: _____

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

Architect or Engineer Contact (name and current phone number):

Construction Manager (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Firm Name: _____

38. The Prospective Bidder shall name below the person who will be assigned the responsibility of managing its construction of the Project (hereafter, the "Project Manager"). The Project manager shall be personally present on site full-time during Construction. Submit past related municipal water and/or wastewater treatment plant project experience for this person. List three completed wastewater treatment plant projects and/or water treatment plant projects below where the individual named below held the position of Project Manager. One of the listed treatment plant projects must have a total electrical trades subcontract amount of at least **\$4 million** where this person held the role of Project Manager. The demonstrated experience of the Project Manger must have been within the last (7) seven years.

Prospective Bidders may submit one or more alternate names for this position of Project Manager in the event the first named person is not available. If the Prospective Bidder elects to name an alternate Project Manager, the Prospective Bidder shall complete and submit another experience form for this individual with this pre-qualification package. Each alternate Project Manager must be clearly designated as an alternate Project Manager and must meet the required minimum level of treatment plant experience defined above as a Project Manager. The list of water treatment plant projects and/or wastewater treatment plant projects completed by any alternate Project Manager must be different than the municipal water and/or wastewater treatment plant projects shown as completed by any other named Project Manager.

Name of Project Manager: _____

Number of Years of Total Construction Experience as a Project Manager of Wastewater/Water Treatment Project: _____

Number of Years as a Project Manager for your company: _____ years

Firm Name: _____

Project #1 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager Contact (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _ _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Firm Name: _____

Project #2 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager Contact (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _ _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Firm Name: _____

Project #3 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager Contact (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _ _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

* * * * *

Firm Name: _____

PART V. ATTACHMENTS REQUIRED

Name of Organization _____

The following documents, Attachments 3, 4, 6, and 7, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification for the aforementioned project.

Failure to provide all these attachments will be cause for disqualification for this project.

- **Attachment 1** – OMIT ATTACHMENT
- **Attachment 1A** – OMIT ATTACHMENT
- **Attachment 1B** – OMIT ATTACHMENT
- **Attachment 2** – OMIT ATTACHMENT
- **Attachment 3** – Notarized Statement from Worker's Compensation Insurance Carrier
- **Attachment 4** – Current Copy of Organization's California Contractor's License(s)
- **Attachment 5** – OMIT ATTACHMENT
- **Attachment 6** – Certification declaring that the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a nolo contendere plea to have submitted a false or fraudulent claim to a public agency
- **Attachment 7** – Certification declaring that the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to Public Contract Code, Section 10162

Firm Name: _____

Attachment 3 – Notarized Statement from the Worker’s Compensation Carrier

Exchange this page for a notarized statement from the Worker’s Compensation carrier that your organization proposes to use, specifying Subcontractor’s current Experience Modification Rating for Workers’ Compensation for the State of California.

Firm Name: _____

Attachment 4 – Current Copy Organization’s California Contractor’s License(s)

Exchange this page for a current copy of your organization’s California Contractor’s License(s).

Firm Name: _____

Attachment 6 – False or Fraudulent Claim

Exchange this page for a certification declaring that the applying organization in the last five (5) years has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the foregoing is true and correct. In the last five (5) years that the organization, any affiliate, parent or subsidiary company has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Signed: _____

Dated: _____

Firm Name: _____

Attachment 7 – Disqualification or Removal

Exchange this page for a certification declaring that the applying organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Signed: _____

Dated: _____

SECTION 4: SCORING

Section 4 sets forth a uniform system of rating Subcontractors who are prospective bidders on the Los Osos Water Recycling Facility, based on the objective criteria and scoring methods below.

The application consists of six parts which must be completed by a Prospective Bidder seeking pre-qualification.

Part I: Organization Information and Affidavit

This part is not scored, but must be completed in order to be eligible to pre-qualify. Failure to include the information called for may result in disqualification.

Part II: Essential Requirements for Qualification

All questions in this part are pass/fail. Subcontractor must provide an acceptable answer on all questions in order to be eligible to pre-qualify.

Part III: Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws

This part includes scorable questions that are divided into two sub-parts.. Subcontractor must receive a passing score in each sub-part to be eligible to pre-qualify.

- Part III.A and B: History of the business and organizational performance. Subcontractor must have score of 48 points or more to pass this sub-part (of a maximum possible score of 61).
- Part III.C: Compliance with occupational safety and health laws, workers' compensation and other labor legislation. Subcontractor must have score of 33 points or more to pass this sub-part (of a maximum possible score of 43).

Part IV: Organization's Recent Projects Completed and Project Manager Experience

This part requires Subcontractors to provide information on projects recently completed by the organization and the proposed project manager for the Los Osos Water Recycling Facility. The County will conduct interviews with the owners of the reference projects and score a series of interview questions based on the response from the interviewed reference project owners.

Subcontractor must provide all of the requested information meeting the criteria listed in questions 37 and 38 in order to be eligible to pre-qualify. In addition, Subcontractor must have a score of 85 points or more on at least two reference project interviews to pass this sub-part, and a score of less than 70 points disqualifies a Subcontractor (of a maximum possible score of 130).

Part V: Attachments Required

This part is not scored, but all attachments must be submitted in order to be eligible to pre-qualify. Failure to include the information called for may result in disqualification.

Firm Name: _____

Scoring for Questions from Part II: Essential Requirements for Qualification:

1. Subcontractor possesses a valid and current California Contractor's license for the project or projects for which it intends to submit a bid.

Subcontractor has Valid California Contractor's License	Qualification
Yes	OK
No	Disqualified
Valid California Contractor's license before submitting a bid	OK

2. Question is omitted and not scored.

3. Subcontractor has current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.

Subcontractor has Current Worker's Comp or Self-Insured	Qualification
Yes	OK
No	Disqualified

4. Question is omitted and not scored.

5. Question is omitted and not scored.

6. Does your firm have a documented Health & Safety Policy?

Firm has a documented Health & Safety Policy	Qualification
Yes	OK
No	Disqualified

7. Has your contractor's license been revoked at any time in the last five years?

Notarized Statement Attached of Surety Insurer	Qualification
Yes	Disqualified
No	OK

8. Question is omitted and not scored.

Firm Name: _____

9. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

Firm Ineligible to Bid on Public Works Contract	Qualification
Yes	Disqualified
No	OK
Debarment	OK

10. At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

Firm Convicted of Crime Involving the Awarding of a Contract of a Govt. Project in Last 5 Years	Qualification
Yes	Disqualified
No	OK

Scoring for Questions from Part III A and B: History of the Business and Organizational Performance:

1. Question not scorable, but must be completed to qualify.
2. Question not scorable, but must be completed to qualify.
3. Question not scorable, but must be completed to qualify.
4. Question not scorable, but must be completed to qualify.
5. Question not scorable, but must be completed to qualify.
6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

Years in Business in California	Points Awarded
3 or less	2
4	3
5	4
6 or more	5

Firm Name: _____

7. Is your firm currently the debtor in a bankruptcy case?

☐ Yes ☐ No

Firm Currently Debtor in Bankruptcy Case	Points Awarded
Yes	0
No	3

8. Was your firm in bankruptcy any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above).

☐ Yes ☐ No

Firm In Bankruptcy in the Last 5 Years	Points Awarded
Yes	0
No	3

Licenses

9. Question not scorable, but must be completed to qualify.
10. Question not scorable, but must be completed to qualify.
11. Question not scorable, but must be completed to qualify.
12. Question not scorable, but must be completed to qualify.
13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

☐ Yes ☐ No

CSLB License Suspended in the Last 5 Years	Points Awarded
Yes	0
No	5

Disputes

14. At any time in the last five years, has your firm been assessed and paid liquidated damages after completion of a project, under a construction contract with either a public or private owner?

☐ Yes ☐ No

Instances in Last 5 Years	Liquidated Damages < or = \$50,000	Liquidated Damages > \$50,000
0	5	0
1	5	0
2	0	0

Firm Name: _____

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No

Firm Debarred or Disqualified in the Last 5 Years	Points Awarded
Yes	0
No	5

16. In the last five years, has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

☐ Yes ☐ No

Firm Found To Be An Irresponsible Bidder in the Last 5 Years	Points Awarded
Yes	0
No	5

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years, has any claim **against** your firm concerning your firm's work on a construction project, been **filed in court or arbitration**?

☐ Yes ☐ No

Firm Name: _____

Court Claims Against Firm in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

18. In the past five years, has your firm made any claim against a project owner concerning work on a project or payment for a contract, and **filed that claim in court or arbitration?**
☐ Yes ☐ No

Court Claims Filed by Firm in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

19. Question is omitted and not scored.

20. In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?
☐ Yes ☐ No

Policy Renewals Refused by Insurance in Last 5 Years	Yes	No
1	5	5
2	3	
>2	0	

Firm Name: _____

Criminal Matters and Related Civil Suits

21. Has your firm, or any of its owners, officers, or partners ever been found liable in a civil suit, or found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

Found Liable or Guilty in Civil Suit or Criminal Action for False Claims	Awarded Points
Yes	-5
No	5

22. Has your firm, or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

Convicted of a Const. Related Crime on Federal, State or Local Law Level	Awarded Points
Yes	-5
No	5

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

Convicted of Fraud or Theft on Federal or State Level	Awarded Points
Yes	-5
No	5

BONDING

24. Question is omitted and not scored.
25. Question is omitted and not scored.
26. Question is omitted and not scored.
27. Question is omitted and not scored.

Firm Name: _____

Scoring for Questions from Part III C: Compliance with safety, workers compensation and prevailing wage laws:

28. Has CAL OSHA cited and assessed penalties against your firm for any "serious," "willful" or "repeat" violations of its safety or health regulations in the past five years?

Note: If you have filed an appeal of a citation and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If the firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

Cal OSHA Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

Note: If you have filed an appeal of a citation and the appropriate appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If yes, attach a separate signed page describing each citation.

Federal OSHA Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

Firm Name: _____

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If the firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

Environmental Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

3 points for an answer of once each week or more often.

0 points for any other answer

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher, you may, if you wish, attach a letter of explanation.

Firm Name: _____

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Average EMR for Past 3 Years	Points Awarded
0.95 or Less	5
Between 0.95 and 1.00	3
Other	0

33. Within the last five years, has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

Period(s) without Worker's Comp	Points Awarded
0-1	5
Other	0

34. Has there been more than one occasion during the last five years on which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the **state's** prevailing wage laws?

☐ Yes ☐ No

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

Number of times your firm's failure to comply with the state's prevailing wage laws in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	5	5
3	3	5
4	0	5
5-6	0	3
>6	0	0

35. During the last five years, has there been more than one occasion on which your own firm has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

Firm Name: _____

Number of times your firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	5	5
3	3	5
4	0	5
5	0	3
6	0	3
>6	0	0

36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998 if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

☐ Yes ☐ No.

If yes, provide the date(s) of such findings, and attach copies of the Department's final decision(s).

Number of times your firm been found to have violated any provision of California apprenticeship laws or regulations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	5	5
3	3	5
4	0	5
5	0	3
6	0	3
>6	0	0

Firm Name: _____

Scoring for Questions from Part IV: Organization's Recent Construction Projects Completed and Project Manager Experience:

37 and 38. The County of San Luis Obispo will conduct the interviews. No action on the Prospective Bidder's part is necessary. These questions are included in the package to the Prospective Bidder for information only.

The following questions will be used to interview randomly selected contacts for at least two (2) reference projects (may be selected from Prospective Bidder experience or Project Manager Experience). The highest possible interview score is 130 points for each interview. A score of less than 70 points disqualifies a Subcontractor from bidding on the Project. A score of between 70 and 85 on interviews conducted will result in the consideration of additional surveys. To prequalify, a score of at least 85 or more on at least two of the interviews conducted is required.

Interview Questions and Scoring

1. Are there any outstanding stop notices, liens, or claims by the Prospective Bidder that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points).
2. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate personnel? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate supervision? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
5. On a scale of 1-10, with 10 being the best, was the Prospective Bidder timely in providing reports and other paperwork, including change order paperwork and scheduling updates? (Max. 10 points)
6. On a scale of 1-10, with 10 being the best, did the Prospective Bidder adhere to the project schedule that your (agency) (business) approved? (Max. 10 points)
7. Was the project completed on time? (10 points if the answer is "Yes") Or, if the answer is "no", on a scale of 1-10, with 10 being the least responsible, to what extent was the Prospective Bidder responsible for the delay in completion? (Max. 10 points)
8. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on the timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)
9. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on how well the Prospective Bidder performed the work after a change order was issued and how well the Prospective Bidder integrated the change order work into existing work. (Max. 10 points)
10. On a scale of 1-10, with 10 being the best, rate how the Prospective Bidder performed in turning in Operations & Maintenance manuals, completing as-built drawings, providing required training and taking care of warranty items? (Max. 10 points)

Firm Name: _____

11. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on whether there were a high number of claims, given the nature of the project, or difficulty in resolving them. (Max. 10 points)

12. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder with respect to timely payments by the Prospective Bidder to subcontractors and suppliers. (If the person being interviewed knows of no such difficulties, the score on this question should be "10.")

13. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder with respect to safety. Was shoring provided properly, were lock / out tag out procedures followed, did the Prospective Bidder provide routine safety training? (Max. 10 points)

14. On a scale of 1-10, with 10 being the best, how would you rate the overall quality of the Prospective Bidder's work? (Max. 10 points)

(130 Points = highest ratings on all questions)

* * * * *